



11-08-04

3628/4  
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Date of Deposit: November 5, 2004

BRINKS  
HOFER  
GILSON  
& LIONE

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Neal Brady, et al.

Appln. No.: 10/001,237

Filed: October 30, 2001

For: NETWORK AND METHOD FOR TRADING  
DERIVATIVES

Attorney Docket No: 4672/363

Examiner: F. Poinvil

Art Unit: 3628

RECEIVED

NOV 15 2004

GROUP 3600

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

## TRANSMITTAL

Sir:

## Attached is/are:

- Response and Amendment.  
 Return Receipt Postcard

## Fee calculation:

- No additional fee is required.  
 Small Entity.  
 An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).  
 A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_\_.)  
 An additional filing fee has been calculated as shown below:

	Claims Remaining After Amendment	Minus	Highest No. Previously Paid For	Present Extra	Small Entity		Not a Small Entity	
					Rate	Add'l Fee	or	Rate
Total	40	Minus	20	20	x \$9=		x \$18=	360
Indep.	3	Minus	3	0	x 44=		x \$88=	
First Presentation of Multiple Dep. Claim					+\$150=		+ \$300=	
					Total	\$	Total	\$360

## Fee payment:

- A check in the amount of \$360 is enclosed.  
 Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_ . A copy of this Transmittal is enclosed for this purpose.  
 Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
 The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

Date

11-5-04

James L. Katz (Reg. No. 42,711)

"Express Mail" mailing label number EV 314 910 645 US

Date of Deposit: November 5, 2004

Our Case No. 4672/363

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Neal Brady et al.

Serial No. 10/001,237

Filing Date: October 30, 2001

For NETWORK AND METHOD FOR  
TRADING DERIVATIVES

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Examiner: F. Poinvil  
Group Art Unit No. 3628

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**GROUP 3600**

**RESPONSE AND AMENDMENT**

Mail Stop Non Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action mailed September 17, 2004, please consider the following amendment and remarks.

11/09/2004 AWONDBAF1 00000099 10001327  
01 FC:1202 360.00 OP

Adjustment date: 11/10/2004 BABRAHA1  
11/09/2004 AWONDBAF1 00000099 10001327  
01 FC:1202 360.00 OP

11/10/2004 BABRAHA1 00000159 10001237  
01 FC:1202 360.00 OP